

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W., SUITE 600
WASHINGTON, D.C. 20005-3934

(202) 371-2600

FACSIMILE: (202) 371-2540; (202) 371-6566

ROBERT GREENE STERNE
EDWARD J. KESSLER
JORGE A. GOLDSTEIN
SAMUEL L. FOX
DAVID K.S. CORNWELL
ROBERT W. ESMOND
TRACY-GENE G. DURKIN
CHELE A. CIMBALA
MICHAEL B. RAY

ROBERT E. SOKOHL
ERIC K. STEFFE
MICHAEL Q. LEE
JOHN M. COVERT*
LINDA E. ALCORN
RAZ E. FLESHNER
ROBERT C. MILLONIG
STEVEN R. LUDWIG
MICHAEL V. MESSINGER

JUDITH U. KIM
TIMOTHY J. SHEA, JR.
DONALD R. MCPHAIL
PATRICK E. GARRETT
BARBARA A. PARVIS
STEPHEN G. WHITESIDE*
NOEL B. WHITLEY*
JEFFREY T. HELVEY*
KIMBERLIN L. MORLEY

RALPH P. ALBRECHT
HEIDI L. KRAUS*
JEFFREY R. KURIN*
CARL B. MASSEY, JR.*
RAYMOND MILLIEN*
PATRICK D. O'BRIEN*
BRIAN S. ROSENBLUM*
LAWRENCE B. BUGAISKY
CRYSTAL D. SAYLES*
EDWARD W. YEE*

DONALD J. FEATHERSTONE**
KAREN R. MARKOWICZ**
GRANT E. REED**
VICTOR E. JOHNSON**
SERGE SIRA**
SUZANNE E. ZISKA**
BRIAN J. DEL BUONO**
CAMERON H. TOUSI**
VINCENT L. CAPUANO**
DONALD R. BANOWIT**
DAVID P. MAIVALD**

*BAR OTHER THAN D.C.
**REGISTERED PATENT AGENTS

March 26, 1999

WRITER'S DIRECT NUMBER:
(202) 789-5525

INTERNET ADDRESS:
BRIAND@SKGF.COM

Assistant Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To be assigned; Filed: Herewith
For: **Compositions and Methods for Non-targeted Activation of
Endogenous Genes**
Inventors: HARRINGTON *et al.*
Our Ref: 1522.0030004/MAC/BJD

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal Form (PTO/SB/05);
2. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (in duplicate);
3. Statement Under 37 C.F.R. § 1.821(f);
4. A paper copy of the sequence listing;
5. A computer readable disk copy of the sequence listing.

Assistant Commissioner for Patents
March 26, 1999
Page 2

6. U.S. Utility Patent Application entitled:

Compositions and Methods for Non-targeted Activation of Endogenous Genes

and naming as inventors:

John J. HARRINGTON
Bruce SHERF
Stephen RUNDLETT

the application consisting of:

- a. A specification containing:
- i. 154 pages of description prior to the claims;
 - ii. 11 pages of claims (57 claims);
 - iii. a one (1) page abstract;
- b. 62 sheets of drawings: (Figures 1-37).

7. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

This patent application is being submitted under 37 C.F.R. § 1.53(b) without Declaration and without filing fee.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Brian J. Del Buono
Agent for Applicants
Registration No. 42,473

RECEIVED
MAR 27 1999

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

HARRINGTON *et al.*

Appl. No. To be assigned

Filed: Herewith

For: **Compositions and Methods for
Non-targeted Activation of
Endogenous Genes**

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 1522.0030004\MAC\BJD

JC525 U.S. PTO

09/27/99



**Authorization To Treat A Reply As Incorporating An Extension Of Time
Under 37 C.F.R. § 1.136(a)(3)**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Brian J. Del Buono
Agent for Applicants
Registration No. 42,473

Date: March 26, 1999
1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934
(202) 371-2600

Please type a sign(+) inside this box → ☐

PTO/SB/05 (2/98)

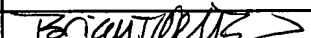
Use through 09/30/2000. OMB 0651-0032
U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR § 1.53(b))	Attorney Docket No. 1522.0030004 MAC/BJD	
	First Inventor or Applicant Identifier Harrington	
	Title	Compositions and Methods for Non-targeted Activation of Endogenous Genes
	Express Mail Label No.	

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<p>1. <input type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages 166] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 62]</p> <p>4. <input type="checkbox"/> Oath or Declaration [Total Pages _____] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Box 5 below] i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).</p> <p>5. <input type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p> <p>6. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input checked="" type="checkbox"/> Computer Readable Copy b. <input checked="" type="checkbox"/> Paper Copy (identical to computer copy) c. <input checked="" type="checkbox"/> Statement verifying identity of above copies</p>	
ACCOMPANYING APPLICATION PARTS	
<p>8. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>9. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)</p> <p>10. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>11. <input type="checkbox"/> Information Disclosure Statement (IDS/PTO-1449) <input type="checkbox"/> Copies of IDS Citations</p> <p>12. <input type="checkbox"/> Preliminary Amendment</p> <p>13. <input checked="" type="checkbox"/> Two Return Receipt Postcards (MPEP 503) (Should be specifically itemized)</p> <p>14. <input type="checkbox"/> *Small Entity Statement(s) (PTO/SB/09-12) <input checked="" type="checkbox"/> Statement filed in prior application, Status still proper and desired</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input checked="" type="checkbox"/> Other: 37 C.F.R. § 1.136(a)(3) Authorization <input type="checkbox"/> Other:</p> <p><small>*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</small></p>	
<p>17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:</p> <p><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input checked="" type="checkbox"/> Continuation-in-Part (CIP) of prior application No: (To be assigned; CIP of U.S. Appl. No. 09/159,643, filed February 19, 1999)</p> <p>Prior application information: Examiner (To be assigned) Group/Art Unit: 1636</p>	

18. CORRESPONDENCE ADDRESS					
<input type="checkbox"/> Customer Number or Bar Code Label			<input checked="" type="checkbox"/> Correspondence address below		
(Insert Customer No. or Attach bar code label here)					
NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.				
	Attorneys at Law				
ADDRESS	Suite 600, 1100 New York Avenue, N.W.				
CITY	Washington	STATE	DC	ZIP CODE	20005-3934
COUNTRY	USA	TELEPHONE	(202) 371-2600	FAX	(202) 371-2540

NAME (Print/Type)	Brian J. Del Buono	Registration No. (Attorney/Agent)	42,473
SIGNATURE		Date	March 26, 1999

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.